

**UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 42P17103

(maximum 12 characters)

First Named Inventor Ansheng LiuTitle: METHOD AND APPARATUS FOR PHASE SHIFTING AN OPTICAL BEAM IN AN OPTICAL DEVICE WITH A BUFFER PLUGExpress Mail Label No. EV320118126USADDRESS TO: Mail Stop: Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. XX **Fee Transmittal Form (e.g., PTO/SB/17)**  
(Submit an original and a duplicate for fee processing)
2.        Applicant Claims Small Entity Status. (37 CFR 1.27)
3. XX **Specification (Total Pages 36)**  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. XX **Drawings(s) (35 USC 113) (Total Sheets 8)**
5. XX **Oath or Declaration (Total Pages 5)**
  - a. XX Newly Executed (Original or Copy)
  - b.        Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 18 completed)
    - i.        DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c.        Unsigned.
6.        Application Data Sheet. (37 CFR 1.76)
7.        CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.        Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.        Computer Readable Form (CRF)
  - b.        Specification Sequence Listing on:
    - i.        CD-ROM or CD-R (2 copies); or
    - ii.        paper
  - c.        Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- |      |               |   |
|------|---------------|---|
| 9.   | <u>XX</u>     | <b>Assignment Papers (cover sheet &amp; documents(s))</b>   |
| 10.  | <u>      </u> | a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)   |
|      | <u>      </u> | b. Power of Attorney  |
| 11.  | <u>      </u> | English Translation Document (if applicable)  |
| 12.  | <u>XX</u>     | <b>a. Information Disclosure Statement (IDS)/PTO-1449</b>   |
|      | <u>XX</u>     | <b>b. Copies of IDS Citations</b>   |
| 13.  | <u>      </u> | Preliminary Amendment   |
| 14.  | <u>XX</u>     | <b>Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</b>   |
| 15.  | <u>      </u> | Certified Copy of Priority Document(s) (if foreign priority is claimed)   |
| 16.  | <u>      </u> | Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). <u>Applicant must attach form PTO/SB/35 or its equivalent.</u> |
| 17A. | <u>XX</u>     | <b>Other: <u>Certificate of mailing with copy of postcard signed by attorney</u></b>                                      |

- 17B. XX Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.

**18A. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet Under 37 C.F.R. 1.76:**

Continuation Of Prior Application No.: \_\_\_\_\_ Divisional Examiner \_\_\_\_\_ Continuation-in-part (CIP) Group Art Unit \_\_\_\_\_  
 (which is a \_\_\_\_\_ continuation/ \_\_\_\_\_ divisional/ \_\_\_\_\_ CIP of prior application no. \_\_\_\_\_,  
 which is a \_\_\_\_\_ continuation/ \_\_\_\_\_ divisional/ \_\_\_\_\_ CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

**Applicant(s):** Also include a Preliminary Amendment to amend the specification to claim priority.  
**For CONTINUATION AND DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18B. Statement under 37 CFR 3.73(b) for continuing application:**

The undersigned states that \_\_\_\_\_ (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel No. \_\_\_\_\_ Frame No. \_\_\_\_\_ (or a copy of which is attached).

<b>19.</b>	<b>Correspondence Address</b> <b>Customer Number or Bar Code Label</b> <div style="text-align: center;">or</div>	<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;"></div> <div style="text-align: center; font-size: small;">(Insert Customer No. or Attach Bar Code Label here)</div>
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X Correspondence Address Below

**NAME** James Y. Go

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

**ADDRESS** 12400 Wilshire Boulevard  
Seventh Floor

CITY	Los Angeles	STATE	California	ZIP CODE	90025-1026
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Country	U.S.A.	TELEPHONE	(206) 292-8600	FAX	(206) 292-8606
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Nam (PRINT/TYPE): James V. Go

**Registration No.: 40,621**

**Signature:**

**Date:**

6-24-Q3

17648 U.S. PTO

PTO/SB/17 (01-03)

Approved for use through 04/30/2003. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 1,054.00

## Complete if Known

Application Number	New Patent Application
Filing Date	Concurrently herewith
First Named Inventor	Ansheng Liu
Examiner Name	Not Yet Assigned
Art Unit	Not Yet Assigned
Attorney Docket No.	42P17103

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 02-2666

Deposit Account Name

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	750
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ ) 750

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims		Extra Claims		Fee from below		Fee Paid	
Independent		-20** = 10		x 18		= 180	
Multiple Dependent		-3** = 1		x 84		= 84	

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	42	Independent claims in excess of 3	
1203	280	2203	140	Multiple dependent claim, if not paid	
1204	84	2204	42	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$ ) 264

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	.40	8021	40	Recording each patent assignment per property (times number of properties)	40
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

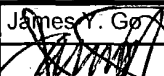
Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 40

## SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	James Y. Go	Registration No. (Attorney/Agent)	40,621	Telephone	206-292-8600
Signature		Date	6-24-02		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Our Reference: 42P17103

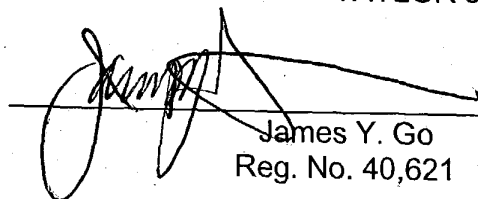
Patent

METHOD AND APPARATUS FOR PHASE SHIFTING AN OPTICAL BEAM IN AN  
OPTICAL DEVICE WITH A BUFFER PLUG

Inventor: Ansheng Liu

Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP

  
James Y. Go  
Reg. No. 40,621

"Express Mail" mailing label number: EV320118126US  
Date of Deposit: June 24, 2003

I hereby certify that I am causing this paper or fee to be deposited with  
the United States Postal Service "Express Mail Post Office to Addressee"  
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addressed to Mail Stop Patent Application, Commissioner for Patents,  
P.O. Box 1450, Alexandria, VA 22313-1450

Luci M. Arevalo

(Typed or printed name of person mailing paper or fee)  
Luci M. Arevalo 06/24/03  
(Signature of person mailing paper or fee) (Date signed)

Serial/Patent No.: New Patent Application Filing/Issue Date: Herewith  
Client: Intel Corporation  
Title: METHOD AND APPARATUS FOR PHASE SHIFTING AN OPTICAL BEAM IN AN  
OPTICAL DEVICE WITH A BUFFER PLUG

BSTZ File No.: 42P17103 Atty/Secty Initials: JYG/lma  
Date Mailed: June 24, 2003 Docket Due Date: \*\*\*\*\*

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- |  |   |
|--|---|
| <input type="checkbox"/> Amendment/Response (____ pgs.)  | <input checked="" type="checkbox"/> Express Mail No.: <u>EV320118126US</u> <input checked="" type="checkbox"/> Check No. <u>2962</u>      |
| <input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)                                    | <input type="checkbox"/> _____ Month(s) Extension of Time Amt: <u>\$1,054.00</u>  |
| <input checked="" type="checkbox"/> Application - Utility ( <u>36</u> pgs., with cover and abstract) | <input checked="" type="checkbox"/> Information Disclosure Statement & PTO-1449 ( <u>4</u> pgs.) <input type="checkbox"/> Check No. _____ |
| <input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)                         | <input type="checkbox"/> Issue Fee Transmittal Amt: _____   |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)                           | <input type="checkbox"/> Notice of Appeal   |
| <input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)                                  | <input type="checkbox"/> Petition for Extension of Time   |
| <input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)                      | <input type="checkbox"/> Petition for _____   |
| <input type="checkbox"/> Application - Design (____ pgs.)  | <input checked="" type="checkbox"/> Postcard  |
| <input type="checkbox"/> Application - PCT (____ pgs.)   | <input type="checkbox"/> Power of Attorney (____ pgs.)  |
| <input type="checkbox"/> Application - Provisional (____ pgs.)                                       | <input type="checkbox"/> Preliminary Amendment (____ pgs.)  |
| <input checked="" type="checkbox"/> Assignment and Cover Sheet                                       | <input type="checkbox"/> Reply Brief (____ pgs.)  |
| <input checked="" type="checkbox"/> Certificate of Mailing   | <input type="checkbox"/> Response to Notice of Missing Parts  |
| <input checked="" type="checkbox"/> Declaration & POA ( <u>5</u> pgs.)                               | <input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business  |
| <input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signed Letter (____ pgs.)       | <input checked="" type="checkbox"/> Transmittal Letter, in duplicate  |
| <input checked="" type="checkbox"/> Drawings: <u>8</u> # of sheets includes <u>8</u> figures         | <input checked="" type="checkbox"/> Fee Transmittal, in duplicate   |

☒ Other: Certificate of mailing with copy of return postcard signed  
by attorney; Copies of eighteen (18) cited IDS references.